

SEC

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MISSION

## OMB APPROVAL

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FORM X-17A-5  
PART III**

## FACING PAGE

**Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 Thereunder**

SEC FILE NUMBER

8- 51558

FEB 27 2004

REPORT FOR THE PERIOD BEGINNING 01/01/2003

MM/DD/YY

AND ENDING 12/31/2003

MM/DD/YY

187

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: HAMPTON SECURITIES (USA), INC.

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

141 Adelaide Street West, Suite 1800

OFFICIAL USE ONLY

FIRM I.D. NO.

(No. and Street)

Toronto

Ontario (Canada)

M5H 3L5

(City)

(State)

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

Manni Buttar

416-862-8654

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

KPMG LLP

(Name - if individual, state last, first, middle name)

Commerce Court West, Suite 3300

P.O. Box 31, Station Commerce Court

Toronto, Ontario M5L 1B2

(Address)

(City)

(State)

(Zip Code)

**CHECK ONE:**☐ Certified Public Accountant☐ Public Accountant☒ Accountant not resident in United States or any of its possessions.**PROCESSED**  
MAR 29 2004**FOR OFFICIAL USE ONLY**THOMSON  
FINANCIAL

\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

SEC 1410 (06-02)

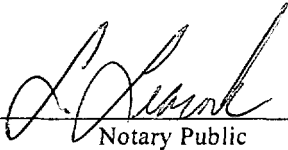
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## OATH OR AFFIRMATION

I, Manni Buttar, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Hampton Securities (USA), Inc., as of December 31, 20 03, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

N/A

Stephen Clermont Leacock, a Commissioner, etc.,  
City of Toronto, for Hampton Securities Limited.  
Expires February 14, 2005.

  
Notary Public

  
Signature

Chief Financial/Operating Officer  
Title

This report \*\* contains (check all applicable boxes):

- ☒ (a) Facing Page.
- ☒ (b) Statement of Financial Condition.
- ☒ (c) Statement of Income (Loss).
- ☒ (d) Statement of Changes in Financial Condition.
- ☒ (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- ☐ (f) Statement of Changes in Liabilities Subordinated to Claims of Creditors. N/A
- ☒ (g) Computation of Net Capital.
- ☒ (h) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
- ☐ (i) Information Relating to the Possession or Control Requirements Under Rule 15c3-3. N/A
- ☐ (j) A Reconciliation, including appropriate explanation of the Computation of Net Capital Under Rule 15c3-3 and the Computation for Determination of the Reserve Requirements Under Exhibit A of Rule 15c3-3. N/A
- ☐ (k) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation. N/A
- ☒ (l) An Oath or Affirmation.
- ☐ (m) A copy of the SIPC Supplemental Report. N/A
- ☐ (n) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.  
N/A

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

# HAMPTON SECURITIES (USA), INC.

Statement of Financial Condition  
(Expressed in U.S. dollars)

December 31, 2003

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## Assets

Cash	\$ 278,251
Accounts receivable	66,844
Due from clearing broker	426,250
Prepays and deposits	22,178
Stock exchange seat (note 2)	30,000
	<hr/>
	\$ 823,523

## Liabilities and Stockholder's Equity

### Liabilities:

Accounts payable and accrued liabilities (note 3)	\$ 685,367
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### Stockholder's equity:

#### Capital stock:

##### Authorized:

200 common shares, no par value,  
one vote per share

##### Issued:

135 common shares

Additional paid-in capital

Deficit

238,000

1,190

(101,034)

138,156

Commitments (note 4)

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\$ 823,523

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See accompanying notes to financial statements.